

Appendix 3 – Leadership Risk Register as at 17/12/2020

Level of risk	How the risk should be managed
<b>High Risk</b> (16-25)	<b>Requires active management</b> to manage down and maintain the exposure at an acceptable level. Escalate upwards.
<b>Medium Risk</b> (10 -15)	<b>Contingency Plans</b> - a robust contingency plan may suffice together with early warning mechanisms to detect any deviation from the profile.
<b>Low Risk</b> (1 – 9)	<b>Good Housekeeping</b> - may require some risk mitigation to reduce the likelihood if this can be done cost effectively, but good housekeeping to ensure that the impact remains low should be adequate. Re-assess frequently to ensure conditions remain the same.

Risk Scorecard – Residual Risks						
		Probability				
		1 - Remote	2 - Unlikely	3 - Possible	4 - Probable	5 - Highly Probable
Impact	5 - Catastrophic			L09		
	4 - Major			L04, L07, L11, L12& L21	L01,L17, L19 & L20	
	3 - Moderate		L16	L02, L05, L14,L15 & L18	L08	
	2 - Minor				L10	
	1 - Insignificant					

Risk Definition	
<b>Leadership</b>	Strategic risks that are significant in size and duration, and will impact on the reputation and performance of the Council as a whole, and in particular, on its ability to deliver on its corporate priorities
<b>Operational</b>	Risks to systems or processes that underpin the organisation’s governance, operation and ability to deliver services

Ref	Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls)			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating						Probability	Impact	Rating				
2020/21																	
L01 -	Financial resilience – Failure to react to external financial impacts, new policy and increased service demand. Poor investment and asset management decisions.	Reduced medium and long term financial viability				Medium Term Revenue Plan reported regularly to members.	Fully							Review of workload and capacity across the team. Interim Capital Accountant post recruited to. Interim Accountant recruited and beginning process of permanent recruitment. Additional resilience and resource for financial accounting and reporting engaged through external partners and agencies. Assessment of national picture undertaken and being reported through senior managers and members highlighting the medium term challenges.	Maintaining focus in this area with ongoing review, staff and member training and awareness raising. Moving to a risk based approach to budget monitoring in order to address workload issues and vacancies in the team, as well as exploring joint working opportunities with OCC	Risk reviewed - 07/12/2020 - Mitigating actions and Comments updated	
		Reduction in services to customers				Balanced medium term and dynamic ability to prioritise resources	Fully							Investment strategy approach agreed and operating and all potential investments now taken through the working groups prior to formal sign off. Robust review and challenge of our investment options to be regularly undertaken through our usual monitoring processes.	Investment options considered as and when they arise, MTFs and budget setting being developed to enhance the scrutiny and quality of investments.		
		Increased volatility and inability to manage and respond to changes in funding levels				Highly professional, competent, qualified staff	Partially							Timeliness and quality of budget monitoring particularly property income and capital improving. Financial Systems replacement project underway. LEAN review of budget monitoring undertaken with significant engagement from within the wider business.	Financial System Solution Project continuing to consider future finance system options, incorporating budget management via Lean, extension of Civica and new procurement.		
		Reduced financial returns (or losses) on investments/assets				Good networks established locally, regionally and nationally	Fully							Asset Management Strategy being reviewed and refreshed.	Review underway		
		Inability to deliver financial efficiencies				National guidance interpreting legislation available and used regularly	Fully							Review of BUILD! to ensure procurement and capital monitoring arrangements are in place and development of forward programme - work still underway.	Review in hand.		
		Inability to deliver commercial objectives (increased income)				Members aware and are briefed regularly	Fully							Finance support and engagement with programme management processes continuing.	Finance business partners involved with reflection locally on outcomes.		
		Poor customer service and satisfaction				Participate in Oxfordshire Treasurers' Association's work streams	Fully							Further integration and development of Performance, Finance and Risk reporting.	Integrated reporting has been embedded		
		Increased complexity in governance arrangements				Review of best practice guidance from bodies such as CIPFA, LGA and NAO	Fully							Regular involvement and engagement with senior management across County as well as involvement in Regional and National finance forums.	Engagement with a number of national and regional networks to ensure we are as up-to-date as we can be in relation to potential funding changes from 2020/21 and impact on our MTFs.		
		Lack of officer capacity to meet service demand				Treasury management and capital strategies in place	Fully							Regular member meetings, training and support in place and regularly reviewed. Briefings provided on key topics to members with particular focus on key skills for specific committees such as audit committee.	Regular training will be undertaken.		
		Lack of financial awareness and understanding throughout the council	4	4	16	Investment strategies in place	Fully	Councillor Tony Illot	Lorna Baxter	Michael Furness	4	4	16	↔			
						Regular financial and performance monitoring in place	Fully							New approach to budget setting introduced linked to service planning. Additional challenge added into the process to ensure robustness of estimates. 2021/22 Budget Consultation will begin on 8 December. BPC will consider the revenue budget pressures and savings proposals on 15 December 2020.	Budget setting for 2020/21 underway. Budget and Business Planning Process Report considered by BPC on 29 September and Executive on 5 October.		
						Independent third party advisers in place	Fully							Regular utilisation of advisors as appropriate.	Review of borrowing approach being considered alongside our financial advisors.		
						Regular bulletins and advice received from advisers	Fully							Internal Audits being undertaken for core financial activity and capital as well as service activity.	Regular reporting of progress on internal audits considered by the committee.		
						Property portfolio income monitored through financial management arrangements on a regular basis	Partially							Assessment of national picture via Pixel and LG Futures has identified that the funding available in later years is likely to be significantly reduced, adding longer term resilience challenges.	Medium/long term position assessed as significantly worse, increasing risk alongside the capacity needed to work on activity to reduce spending levels. The ongoing impact of Covid on business rates and council tax income will be carefully monitored. When the Spending Review is announced this will be analysed to assess what implications this may have for the Council.		
						Asset Management Strategy in place and embedded. Transformation Programme in place to deliver efficiencies and increased income in the future	Partially Fully							Financial forecasts of resources for 2021/22 have assumed a reduction in resources that will be available from business rates compared to February 2020 assumptions. The budget consultation identifies possible savings proposals to mitigate this. If resources fell significantly below the 2021/22 forecast level then a review of which reserves could be made available to mitigate this would be required (e.g. due to greater ongoing impact of Covid-19 or due to further economic shocks in the short-term). A similar approach to reviewing reserve availability could be adopted if the cost of goods we purchase were to increase.	The impact of Covid19 has changed the financial outlook for the Council, with regular updates helping to outline the impact on the Council both in the short, medium and longer term. The Council currently anticipates a significant, short, medium and long term funding shortfall in overall terms. Set alongside the anticipated funding reductions due to start from 2021-22 the financial resilience of the Council could be severely impacted. The Council agreed a revised budget for 2020/21 to address the short term impacts of Covid-19 and provided its Budget and Business Planning Process 2021/22 - 2025/26 report to Executive on 5 October 2020. Chancellor's Spending Review confirmed the delay of the business rates reset. Awaiting the specific detail of what the Spending Review means for CDC finances for 2021/22 w/c 14 December. Only a 1 year SR so no additional certainty of funding and any additional Covid related funding is likely to be for one year only.		
														A business rates reset is assumed from 2022/23 which will significantly reduce the resources available to the Council. Should resources from business rates fall much below this (e.g. due to any further ongoing impacts to the economy) then resources would be supplemented by a "safety net" payment from the Government under the current regime. The budget process for 2022/23 will need to begin shortly after setting the 2021/22 budget to identify further savings necessary to operate within this level of resources.			

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L02 -	Statutory functions – Failure to meet statutory obligations and policy and legislative changes are not anticipated or planned for.	Legal challenge Loss of opportunity to influence national policy / legislation Financial penalties Reduced service to customers	3	4	12	Embedded system of legislation and policy tracking In place, with clear accountabilities, reviewed regularly by Directors. Clear accountability for responding to consultations with defined process to ensure Member engagement National guidance interpreting legislation available and used regularly Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed. Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place. Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit Internal Audit Plan risk based to provide necessary assurances Strong networks established locally, regionally and nationally to ensure influence on policy issues. Senior Members aware and briefed regularly in 1:1s by Directors.	Partially Fully Fully Partially Partially Partially Fully Partially	Councillor Barry Wood	Steve Jorden	Sukdave Ghuman	3	3	9	↔	Establish corporate repository and accountability for policy/legislative changes. Review Directorate/Service risk registers. Ensure Committee forward plans are reviewed regularly by senior officers. Ensure Internal Audit plan focusses on key leadership risks. Develop stakeholder map, with Director responsibility allocated for managing key relationships. Standardise agendas for Director / PFH 1:1s New legislation and Government guidance in response to COVID19 will assist service adjustment. Allocate specific resource to support new projects/policies or statutory requirements e.g. GDPR.	Service plans for 2019-20 received and currently being reviewed. Performance framework for 2020-21 to be agreed. Review of Leadership Risk Register and Risk Strategy for 2020-21 in progress. Planning for statutory changes resulting from EU transition is ongoing	Risk reviewed 09/12/20 - No changes
L04 -	CDC Local Plan - Failure to ensure sound, up to date local plan remains in place for Cherwell resulting in poor planning decisions such as development in inappropriate locations, inability to demonstrate an adequate supply of land for housing and planning by appeal	Poor planning decisions leading to inappropriate growth in inappropriate place. Negative (or failure to optimise) economic, social, community and environmental gain. Negative impact on the council's ability to deliver its strategic objectives, including its commitments within the Oxfordshire Housing & Growth Deal. Increased costs in planning appeals. Reputational damage with investor community of Cherwell as a good place to do business created by uncertainty/ lack of policy clarity.	4	4	16	Local Development Scheme (LDS) is actively managed and reviewed, built into Service Plan, and integral to staff appraisals of all those significantly involved in Plan preparation and review. Team capacity and capability kept under continual review with gaps and pressures identified and managed at the earliest opportunity. Some additional resource budgeted for 20/21. Delegations to Chief Exec agreed to ensure timely decisions. On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies.	Partially Partially Partially Fully Partially	Councillor Colin Clarke	Paul Feehily	David Peckford	3	4	12	↔	Regular review meetings on progress and critical path review. Regular Corporate Director and Lead Member briefings. LDS updated as required with programme management approach adopted to ensure progress against plan. LDS timeline built into Directorate level objectives (e.g. via Service Plans) and incorporated into SMART targets within staff appraisals. Authority Monitoring Reports continue to be prepared on a regular annual basis. Regular Corporate Director and Lead Member briefings. LDS updated as required with programme management approach adopted to ensure progress against plan. LDS timeline built into Directorate level objectives (e.g. via Service Plans) and incorporated into SMART targets within staff appraisals. Authority Monitoring Reports continue to be prepared on a regular annual basis.	The Local Development Scheme (LDS) was updated in March 2020. It includes the programmes for the Partial Review of the Local Plan, the Oxfordshire Plan 2050, a Local Plan Review, the Banbury Canalside Supplementary Planning Document and work on a Community Infrastructure Levy (CIL). The Partial Review of the Local Plan was adopted by Council on 7 Sept. An issues consultation for the Local Plan Review was completed on 14 Sept in accordance with the LDS timetable. Re-starting work on the Canalside SPD has been delayed and the timetable for the Oxon Plan process is outside the Council's direct control. Work on the Local Plan Review is continuing but the precise timetable is under review. Potential national changes to the planning system may affect how plans are prepared. They may also influence a decision on whether or not to proceed with work on CIL.	Risk reviewed 02/12/2020 - Additional information updated

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2020/21							Fully effective Partially effective Not effective										
L05 -	<b>Business Continuity</b> - Failure to ensure that critical services can be maintained in the event of a short or long term incident affecting the Councils' operations	Inability to deliver critical services to customers/residents.  Financial loss.  Loss of important data.  Inability to recover sufficiently to restore non-critical services before they become critical.  Loss of reputation.	4	4	16	Business continuity strategy in place.  Services prioritised and recovery plans reflect the requirements of critical services.  ICT disaster recovery arrangements in place.  Incident management team identified in Business Continuity Strategy.  All services undertake annual business impact assessments and update plans.  Business Continuity Plans tested.	Fully  Fully  Partially  Fully  Partially	Councillor Andrew McHugh	Rob MacDougall	Richard Webb	3	3	9	↔	Business Continuity Statement of Intent and Framework agreed by CEDR.  Cross-council BC Steering Group meets regularly to identify BC improvements needed.  ICT transition to data centre and cloud services have reduced likelihood of ICT loss and data loss.  Corporate ownership and governance sits at senior officer level.  BC Impact assessments and BCPs in place for all teams and peer reviewed by OCC's Emergency Planning team  Progress report was provided to CEDR in March 2019. BC assurance framework under development.	Business continuity status reports being reinstated in view of increased infection rates and new national restrictions. Previous reporting demonstrated that the council could continue to provide critical services throughout the first lockdown period. Remote working enables most teams to work effectively from home and sustain services whilst also avoid unnecessary social contacts. EU Exit planning has recommenced in advance of the end of the transition period and potential impacts are being assessed. Services have been asked to consider supply chain risks and information management risks.	Risk Reviewed 10/12/2020 - Comments updated
L07 -	<b>Emergency Planning (EP)</b> - Failure to ensure that the local authority has plans in place to respond appropriately to a civil emergency fulfilling its duty as a category one responder	Inability of council to respond effectively to an emergency.  Unnecessary hardship to residents and/or communities.  Risk to human welfare and the environment.  Legal challenge.  Potential financial loss through compensation claims.  Ineffective Cat 1 partnership relationships.	4	4	16	Key contact lists updated monthly.  Emergency Planning Lead Officer defined with responsibility to review, test and exercise plan and to establish, monitor and ensure all elements are covered.  Added resilience from cover between shared Environmental Health and Community Safety Teams as officers with appropriate skill.  Senior management attend Civil Emergency training  Multi agency emergency exercises conducted to ensure readiness.  On-call rota established for Duty Emergency Response Co-ordinators.  Active participation in Local Resilience Forum (LRF) activities.	Fully  Partially  Fully  Fully  Fully  Fully	Councillor Andrew McHugh	Rob MacDougall	Richard Webb	3	4	12	↔	Emergency plan contacts list being updated monthly and reissued to all duty managers.  OCC Emergency Planning providing expert advice and support under a partnership arrangement. Accountability for both OCC and CDC's arrangements now sit with the Chief Fire Officer who reviews the arrangements with the Assistant Director.  Supporting officers for incident response identified in the emergency plan and wallet guide.  Drop in training session now taking place monthly (from June) covering a range of topics.  Senior managers have attended multi-agency exercises and duty manager training with OCC senior managers.  On-call rota being maintained.  Authority represented at the Local Resilience Forum.	The Emergency Plans which were enacted and command structures established with partner organisations to support the response to the Covid-19 pandemic are still in place and operating now the new national restrictions are in place and we are in the 'second wave' of the pandemic. Recovery work continues. Partners are liaising with organisers of events to ensure they have robust infection management arrangements in place and that there is awareness of all the events being planned. The council is maintaining its duty director rota for any other emergency incidents that might arise and the emergency contact numbers have been tested. Contact arrangements for out of hours incidents have been reviewed following recent isolated flooding as a result of high levels of rainfall. The emergency planning arrangements will also include the response to any EU transition matters. The council's lead for emergency planning sits on the EU transition planning co-ordination group to plan for local impacts and ensure organisational readiness. The co-ordination group maintains a specific risk register.) The co-ordination group maintains a register of risks associated with EU Exit to support organisations risk management.	Risk Reviewed 10/12/2020 - Comments amended.

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L08 -	Health and safety – Failure to comply with health and safety legislation, corporate H&S policies and corporate H&S landlord responsibilities	Fatality, serious injury & ill health to employees or members of the public.  Criminal prosecution for failings.  Financial loss due to compensation claims.  Enforcement action – cost of regulator (HSE) time.  Increased agency costs.  Reduction in capacity impacts service delivery.  Reputational Impact.	5	4	20	Health & Safety Corporate HS&W Policy and Corporate Arrangements & guidance in place as part of the HSE's recommended Management System HSG 65. Organisations have a legal duty to put in place suitable arrangements to manage health & safety.  Clearly identified accountability and responsibilities for Health and Safety established at all levels throughout the organisation.  Corporate H&S Manager and H&S Officer in post to formalise the H&S Management System & provide competent H&S advice and assistance to managers & employees.  Proactive monitoring of Health & Safety performance management internally.  Effective induction and training regime in place for all staff.  Positive Health & Safety risk aware culture.  Corporate Health & Safety meeting structure in place for co-ordination and consultation.  Corporate body & Member overview of Health & Safety performance .  Assurance that third party organisations subscribe to and follow Council Health & Safety guidelines and are performance managed where required.	Partially  Fully  Fully  Partially  Partially  Fully  Fully	Councillor Lynn Pratt	Yvonne Rees	Ceri Harris	3	4	12	↔	A Corporate Health, Safety and Wellbeing Policy was ratified by BPM meeting on 17th June 2019, it is due for review no later than June 2021. The Corporate Arrangements are subject to a continuing programme of updates to ensure they remain up to date and relevant to council business.  Following the ratification of the Corporate Health, Safety and Wellbeing Policy all Assistant Directors have been asked to complete a Departmental Risk Assessment Checklist. The Checklist identified the areas of risk within the department and whether there is a risk assessment in place to cover the risks.  As Health and Safety Officers are in place no further action is required and risk mitigated.  A 2-year internal Health and Safety Audit programme is in place covering the period until May 2021. The health and safety internal audit programme covers all elements of our overall H&S management system to ensure compliance with legislative standards. The full programme of audits is temporarily on hold due to the Coronavirus Lockdown, however health and safety checks on the front line operations of Environmental Services have recommenced as of July 2020.  Management of H&S training will now be included within the new eLearning programme which is in the process of being procured. A central list of risk assessments is to be created to enable more proactive monitoring of risk assessment across the council. Risk Assessment Workshop training is being developed. Robust training already in place in Environmental Services.  Good awareness in higher risk areas of the business, e.g. Environmental Services. However other areas need improved awareness of risk assessment process. This needs to be achieved by a review of training needs across CDC and the mandatory training of managers on risk assessment. Property team have undertaken a review of CDC owned operational properties to ensure health and safety compliance is fully maintained in line with the legislative compliance requirements.  Currently the Council has no formal committee structure in place for the consultation of health safety with staff.  Quarterly reporting to ELT and to the Portfolio Holder by the Corporate Health and Safety Manager.  Robust procurement process that requires health and safety documentation and commitment to be proven prior to engagement of contractors.	The Executive Leadership Team (ELT) receives a quarterly report from the Corporate H&S Manager.  Corporate Health and Safety Team to ensure all departments to responds to the Departmental Risk Assessment Checklist and to follow up with departments on areas of concern. Responses are being collated on a central spreadsheet which will become the database of all risk assessments across the Council.  These two posts are established posts and budgeted accordingly to secure future funding for continuity.  The H&S team are conducting health and safety inspections internally across all services and teams. To date a total of 17 audits have been carried out across the Council however, the audits are currently on hold due to Corona Virus. The audit reports have been provided to the relevant service managers, including recommendations, advise and timescales for remediation.  Final sign off from the HR/Training Manager for training procurement and implementation due. Final tweaks being made prior to launch of eLearning package.  A review has been undertaken of all CDC owned properties to ensure that fire risk assessments, water hygiene surveys and asbestos surveys have been completed where required. A compliance review of tenanted properties leased by CDC is also under way to ensure that the tenants are managing the property in accordance with legislative requirements.  A proposal for the formation of a Health and Safety Committee to report to the ELT will be submitted to ELT once stability has been achieved following COVID 19. The purposed of this committee, if ratified, will monitor the activities of the Corporate Health and Safety Team and to act as a scrutiny committee for the Corporate Arrangements.  Reporting dates have been agreed and adhered to.  Corporate Health and Safety has scheduled to undertake a review of Procurement process to ensure compliance.	Risk reviewed 08/12/2020 - No changes

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2020/21							Fully effective Partially effective Not effective										
L09 -	Cyber Security - If there is insufficient security with regards to the data held and IT systems used by the councils and insufficient protection against malicious attacks on council's systems then there is a risk of: a data breach, a loss of service, cyber-ransom.	Service disruption.  Financial loss / fine. Prosecution – penalties imposed.  Individuals could be placed at risk of harm.  Reduced capability to deliver customer facing services. Unlawful disclosure of sensitive information.  Inability to share services or work with partners. Loss of reputation.	4	5	20	File and Data encryption on computer devices.  Managing access permissions and privileged users through AD and individual applications. Consistent approach to information and data management and security across the councils. Effective information management and security training and awareness programme for staff.  Password security controls in place. Robust information and data related incident management procedures in place.  Appropriate robust contractual arrangements in place with all third parties that supply systems or data processing services. Appropriate plans in place to ensure ongoing PSN compliance. Adequate preventative measures in place to mitigate insider threat, including physical and system security. Insider threat mitigated through recruitment and line management processes. Cookie pop-ups on the website. Increased threat to security during Covid-19 period in part due to most staff working from home.	Fully  Fully Fully Fully  Fully Fully Fully Fully Fully Fully	Councillor Ian Corkin	Claire Taylor	David Spilsbury	3	5	15	↔	The cyber-essentials plus certification has now been passed. The Microsoft Multi-Factor Authentication system has been introduced to provide an enhanced level of cyber security.  Accounts, Audit & Risk Committee Members updated and given a presentation on Cyber Security November 2019. The Regional Police Cyber Security Advisor gave the IT management team two training sessions (full cyber awareness and table top DR exercise) followed by a series of all-Council staff awareness sessions in 2019. 2020 Cyber Security now included in mandatory e-learning for all staff to be completed by 31.12.2020. Members given a Cyber training session with the Police Cyber Security Advisor.  Implemented an intrusion prevention and detection system. Agreed Terms of Reference and re-implementation of the security forum as the Information Governance Group, with meetings to be held on a minimum quarterly basis chaired by the Information Governance Manager. Information Governance support is now provided to Cherwell as part of a joint working relationship with Oxfordshire County Council. An action for the next month will be to ensure there are effective partnership working arrangements in place under this new service.  Cyber Awareness e-learning available and will be part of new starters induction training. Cyber Security issues regularly highlighted to all staff.  External Health Check undertaken January 2020, no high risk security issues highlighted. Internal Audit completed a cyber audit in June 2020 with no major issues or significant risks identified. The findings have an agreed action plan in place.  Cookiebot live on website for users to confirm cookie preferences. Joint OCC/CDC Cyber Security Officer started work August 2020 Additional IT security advice provided for all staff during the Covid-19 working at home period including online coronavirus related scams. Update provided to Accounts, Audit & Risk Committee Members July 2020.	Cyber security incidents are inevitable. The only way to manage this risk is to have effective controls and mitigations in place including audit and review.	Risk Reviewed 09/12/20 - No changes



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L10 -	<b>Safeguarding the vulnerable (adults and children)</b> - Failure to follow our policies and procedures in relation to and service delivery that safeguarding vulnerable adults and children or raising concerns about their welfare.	Increased harm and distress caused to vulnerable individuals and their families.  Council could face criminal prosecution. Criminal investigations potentially compromised. Potential financial liability if council deemed to be negligent.	4	4	16	Safeguarding lead in place and clear lines of responsibility established.  Safeguarding Policy and procedures in place. Information on the intranet on how to escalate a concern. Mandatory training and awareness raising sessions are now in place for all staff. Safer recruitment practices and DBS checks for staff with direct contact. Action plan developed by CSE Prevention group as part of the Community Safety Partnership. Data sharing agreement with other partners. Attendance at Children and Young People Partnership Board (CYPPB). Annual Section 11 return compiled and submitted as required by legislation. Engagement with Joint Agency Tasking and Co-ordinating Group (JATAC) and relevant Oxfordshire County Council (OCC) safeguarding sub group. Engagement at an operational and tactical level with relevant external agencies and networks.	Fully  Fully Fully Fully Partially Fully Fully Fully Fully Fully	Councillor Barry Wood	Ansaf Azhar	Nicola Riley	2	4	8	↔	Ongoing internal awareness campaigns.  Ongoing external awareness campaigns. Annual refresher and new training programmes including training for new members. Attendance at safeguarding boards and participation in learning events. Continue to attend groups focused on tackling child exploitation. Continue to support work across the district regarding exploitation through slavery, county lines, domestic violence.  Regular internal cross departmental meetings to discuss safeguarding practice .	The new Safeguarding Officer is working closely with HR colleagues to ensure that training and recording are up to date and generally processes are understood and being applied. Higher levels of exploitation concerns have been recorded through the pandemic to date and multi agency work continues in order to contain impacts.	Risk Reviewed 08/12/2020 - No changes
L11 -	<b>Sustainability of Council owned companies and delivery of planned financial and other objectives</b> - failure of council owned companies to achieve their intended outcomes or fail to meet financial objectives	Unclear governance leading to lack of clarity and oversight in terms of financial and business outcomes.  Non achievement of business and finance outcomes directly or indirectly impacting on other council services. Lack of understanding at officer and member level about the different roles of responsibilities required when managing council owned companies.	3	4	12	Annual business planning in place for all companies to include understanding of the link between our objectives being delivered and financial impact for the council. Financial planning for the companies undertaken that will then be included within our own Medium term financial plan. Ensure strong corporate governance mechanisms are in place. Sound monitoring in place of both business and financial aspects of the companies and the impact on overall council performance. Training in place for those undertaking roles relating to the companies.	Fully Fully Partially Fully Partially	Councillor Tony Illot	Steve Jorden	Jonathan MacWilliam	3	4	12	↔	Changes in the shareholder support side line management been put in place. Additional oversight and capacity from senior managers including performance dashboards at CEDR. Resilience and support being developed across business to support and enhance knowledge around council companies. Skills and experience being enhanced to deliver and support development, challenge and oversight. Work with one company to ensure long term support arrangements are put in place.	COVID-19 impact and resulting operational environment impacting all three companies . CSN continue to handle increased demands through various grant schemes and increased benefit enquiries. Gravenhill resumed development within the current restrictions. Looking at schemes to assist buyers. Occupation of Crown House continues with letting agents active in the market. Regular liaison with the Shareholder Representative to ensure full understanding of ongoing operational issues. Review of governance arrangements being finalised prior to presenting to teh Shareholder committee.	Risk reviewed - 08/12/2020 Comments updated

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2020/21																	
L12 -	<b>Financial sustainability of third-party suppliers including contractors and other partners</b> Supply chain management ensuring effective delivery through the supply chain	The financial failure of a third party supplier or partner results in the inability or reduced ability to deliver a service to customers. A reduced supply market could also result in increased costs due to the council's; loss of competitive advantage.	3	4	12	Ensure contract management in place review and anticipate problems within key service suppliers and partners.  Business continuity planning arrangements in place in regards to key suppliers.  Ensuring that proactive review and monitoring is in place for key suppliers to ensure we are able to anticipate any potential service failures.	Partially  Partially  Partially	Councillor Tony Illot	Lorna Baxter	Jeremy Richards	3	4	12	↔	Service areas to hold meetings as required with suppliers to review higher risk areas and ensure risks are being managed. Reminders to be sent to all who have Procurement/Contract Management responsibility to regularly meet with key suppliers and partners to gain early understanding of the effects a second wave of COVID-19, and lockdown, would have on supply.  The Procurement Team is now providing ELT members and identified Contract Mangers a monthly update of all suppliers with spend above £25k c/w a credit risk rating score to enable contract managers to manage any identified risks, with support from the Procurement Team. Furthermore, as a result of Covid-19 the likelihood of this risk is deemed to have increased and thus the procurement and finance team now hold a weekly joint meeting to consider funding solutions to support At Risk Suppliers in accordance with the national guidance note PPN04/20.	Council departments monitor suppliers financial stability as part of their contract management responsibilities. In addition, through collaboration with Oxfordshire CC, a joint Provision Hub will be established in FY20/21 that will put in place greater commercial skills and controls across the two authorities. This will result in improved monitoring and management of commercial contract risk across the council's supply chain.	Risk reviewed 11/12/2020 - No changes
L14 -	<b>Corporate Governance</b> - Failure of corporate governance leads to negative impact on service delivery or the implementation of major projects providing value to customers.	Threat to service delivery and performance if good management practices and controls are not adhered to.  Risk of ultra vires activity or lack of legal compliance.  Risk of fraud or corruption.  Risk to financial sustainability if lack of governance results in poor investment decisions or budgetary control.  Failure of corporate governance in terms of major projects, budgets or council owned companies impacts upon financial sustainability of the councils.  Inability to support Council's democratic functions / obligations (e.g. remote public meetings, remote voting).  Elements of the COVID-19 response may be compromised, delayed or not taken forwards.	4	4	16	Clear and robust control framework including: constitution, scheme of delegation, ethical walls policy etc.  Clear accountability and resource for corporate governance (including the shareholder role).  Integrated budget, performance and risk reporting framework.  Corporate programme office and project management framework. Includes project and programme governance.  Internal audit programme aligned to leadership risk register.  Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc.  HR policy framework.  Annual governance statement process under way for 2020/21 under oversight of the Corporate Governance Assurance Group (CGAG) for Cherwell and Oxon. The Group is taking an aligned approach (with Oxon CC) to working up a revised and complementary Annual Governance Statement which also connects more fully and earlier with ELT and CEDR.  Joint Corporate Governance Assurance Group (CGAG) for Cherwell and Oxon is working up a revised and complementary Annual Governance Statement process for 2020/21, which also connects more fully and earlier with ELT and CEDR.  CGAG also mapping respective (CDC/Oxon CC) governance processes to achieve alignment and efficiency where appropriate.	Partially  Partially  Partially  Partially  Partially  Partially  Partially	Councillor Barry Wood	Yvonne Rees	Steve Jorden	3	3	9	↔	Standing item at senior officer meetings – regular review of risk and control measures.  Monitoring Officer to attend management team meetings.  Annual Governance Statement process under review (reviewing previous actions and identifying new) and draft Corporate Lead Statements which identify potential actions for 2020/21 are being produced for review by the Corporate Governance Assurance Group - on schedule. Corporate Governance Assurance Group mapping governance processes to ensure visibility and refresh.	In January 2019, Council agreed to enter into a Compromise Agreement with South Northants DC to ensure the continuation of key aspects of service delivery that required ongoing joint working (following the ending of the partnership S113 Agreement).  Monitoring Officer undertaking a focused Constitution review during Autumn, closely with members, scrutiny involvement with any recommendations for change presented to Full Council.  Review of Constitution underway: Scrutiny Committee has formulated recommendations to Full Council following work by the Cross-party member working group. To be considered by Full Council on 14 December.  Mode Code of Conduct has been published by LGA and all Oxon Council Monitoring Officers will consider together the scope for achieving a county-wide Code (also applicable to parishes). Likely to come to Standards Committee early in the New Year.	Risk reviewed 09/12/20 - Controls, Mitigating Actions and Comments updated



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2020/21							Fully effective Partially effective Not effective										
L15 -	L15 Oxfordshire Growth Deal - (contract with HMG)	<p>Failure to meet its obligations as a partner within the Growth Deal could see Cherwell as a factor in Government holding back some or all of its funding and/or cease to extend the arrangement beyond 2023.</p> <p>Infrastructure milestone delivery late (for infrastructure linked to accelerated housing).</p> <p>Accelerated housing numbers delivered late, outside of the programme time scale.</p> <p>Delivery of Infrastructure projects fail to accelerate housing delivery as commercial pressures impact house builders.</p> <p>Delivery of affordable houses below programme targets as GD contributions insufficient to attract sufficient builders/ registered providers.</p> <p>Oxfordshire Plan delivered late.</p>	4	5	20	<p>Established programme structure and partnership ethos to support effective programme delivery.</p> <p>Engagement with housing developers to understand their commercial constraints.</p> <p>Engage with developers to ascertain which sites would benefit most from infrastructure delivery.</p> <p>Identify potential "top up" schemes to supplement GD affordable housing scheme.</p> <p>Utilise effective Programme controls to facilitate prompt escalation of issues to enable appropriate decision making and delivery timescale review.</p> <p>Develop Year 3 Plans of Work to detail the expected delivery by CDC for Year 3 of the Growth Deal Programme; building on the experiences and knowledge gained during Year 2.</p>	Fully Partially Partially Fully Fully Partially	Councillor Barry Wood	Robert Jolley	Jonathan MacWilliam	3	3	9	↔	<p>A CDC GD programme and programme board capability.</p> <p>Work stream plans of work (work stream brief, schedule, RAID log) .</p> <p>Structured engagement with developers to better understand their needs.</p> <p>Appropriate escalation of issues to agree programme flexibilities where required.</p> <p>Improved collaboration working with partners.</p> <p>Ongoing work with partners to realistically reflect deliverable schemes within programme time frame.</p>	Overall and residual probability reduced to reflect both the Homes from Infrastructure and Affordable Housing workstreams actively addressing those sites with potential to slip either by identifying alternative sites as replacements or by re-prioritising the schemes to ensure those most likely are actioned earliest.	Risk reviewed 08/12/20 - No changes
L16 -	Joint Working	<p>Opportunities for joint working take longer to develop than planned delaying potential service improvements for residents and communities.</p> <p>Resources are allocated to the development of proposals, reducing the capacity of the Council to deliver on its priorities and plans, impacting on quality of services delivered to residents and communities.</p> <p>Uncertainty around joint working could lead to reduced staff morale and potentially increase staff turnover.</p> <p>Benefits to be realised from joint working business cases do not materialise or take longer to deliver than planned.</p>	3	3	9	<p>S113 agreement in place with Oxfordshire County Council Partnership working group meets quarterly programme management in place.</p> <p>Partnership Working Group established with OCC to oversee the development of joint working proposals.</p> <p>Robust programme and project management methodologies in place.</p>	Fully Fully Fully	Councillor Ian Corkin	Yvonne Rees	Claire Taylor	2	3	6	↔	<p>Regular reporting on joint working proposals to the senior management team.</p>	<p>Joint senior appointments in the customers and organisational development directorate have been completed. The business case for a joint strategy and communications service is now in place.</p> <p>The partnership working group will review a schedule of projects for the next phase of development at their next meeting. The Audit plan for 2020/21 will ensure joint working arrangements are included. Plans are in place to consider further opportunities for joint working and these are reported to the Partnership Working Group.</p> <p>The Joint MO and Director for Law and Governance has just been confirmed by both councils. Opportunities for joint working continue to be developed and the appointment of a new joint director for environment and place is imminent.</p>	Risk reviewed - 11/12/20 - Comments updated
L17 -	Separation	<p>Separation of joint working arrangements result in reduced capacity and resilience to deliver services. Specific impacts on Revenues &amp; Benefits and IT services which are the only remaining shared services.</p> <p>Services being delivered to SNC are impacted by re-organisation in Northamptonshire, impacting on the quality of services delivered to residents and communities.</p>	4	4	16	<p>On-going service delivery arrangements to SNC set out clearly and underpinned by the Collaboration Agreement with protocols in place for dealing with any emerging issues.</p> <p>Currently SNC are not able to confirm end date or transitional arrangements for these shared services going into West Northamptonshire Unitary. This created a level of uncertainty for Cherwell, plans are being prepared for separation on the assumption that West Northants will seek to deliver their own IT, Revs and benefits services. Legal advice is being sort with regards to governance and technical advice is being sort regarding technology.</p> <p>Robust programme and project management frameworks in place.</p>	Partially Fully	Councillor Ian Corkin	Yvonne Rees	Claire Taylor	4	4	16	↔	<p>Regular reporting on joint working proposals to the senior management team.</p>	<p>The majority of services have now separated or been moved into a service delivery arrangement. Although Customer Services has now been separated, there is a lack of clarity of CSN and IT in the transition into the unitary. Plans are being prepared to ensure both areas are ready to separate in line with unitary deadlines.</p> <p>Work has begun to explore the impact of local government reorganisation on the jointly owned arm's length company that delivers revenues and benefits services. This will require additional resource and oversight if a decision to separate is taken. A proposal to separate IT as SNC transitions into West Northants has been agreed by SNC but West Northants has not yet engaged. There is a risk that prolonged delay will prevent CDC working with OCC on future proposals. Work is ongoing to ensure the proposal is progressed.</p> <p>West Northants Council have still not yet set out any long term vision for the delivery of revenues and benefits and therefore their aspirations for CSN. Whilst we have governance arrangements and contracts in place to oversee the delivery of the service the uncertainty associated with the current situation can only be partially managed, hence the unmitigated score of 16.</p> <p>With regards to IT a fully worked up proposal has been developed to ensure SNC ICT can be migrated to the new unitary. This approach has been externally validated. CDC remains a positive partner to SNC with regards to ICT and is pressing for a clear timeframe to ensure separation is smooth and delivered during 2021. Without a clear agreement as to timeframes there remains a risk that CDC will be required to support SNC's ICT migration which could prevent closer joint working with OCC.</p> <p>However, there is not a greater risk posed to business continuity, security or operational delivery associated with this risk.</p>	Risk reviewed - 11/12/20 - No changes

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2020/21							Fully effective Partially effective Not effective										
L18 -	<b>Workforce Strategy</b> The lack of effective workforce strategies could impact on our ability to deliver Council priorities and services.	Limit our ability to recruit, retain and develop staff  Impact on our ability to deliver high quality services Overreliance on temporary staff Additional training and development costs	3	4	12	Analysis of workforce data and on-going monitoring of issues.  Key staff in post to address risks (e.g. strategic HR business partners) Weekly Vacancy Management process in place Ongoing service redesign will set out long term service requirements	Partially effective  Fully Fully Partially	Councillor Ian Corkin	Claire Taylor	Karen Edwards	3	3	9	↔	Development of relevant workforce plans . IT has build a new reporting system with a RAG rating to update each area indicating and/or forecasting significant staff pressuress when they happen due to COVID-19. This data is monitored weekly at Silver.  Development of new L&D strategy, including apprenticeships. Development of specific recruitment and retention strategies. New IT system is being implemented to improve our workforce data. The ability to interrogate and access key data (ongoing) in order to inform workforce strategies.	Training on workforce planning for the HR team planned to start across both CDC and OCC during Quarter 4.	Risk reviewed 04/12/2020 - Mitigating actions updated.
L19 -	<b>Covid-19 Community and Customers</b> Significant spread of the Covid-19 19 virus results in potential impacts in terms of customers and communities. Including community resilience, ability to access services, consequences of prolonged social distancing or isolation, economic impacts to business, including but not limited to the visitor economy.	Possible reductions in frontline service delivery, events, meetings and customer contact.  Economic hardship impacting local business and potentially the local workforce. Impact on vulnerable residents who may find it harder to access services.  Increased demand on both frontline and enabling services.  Prolonged risk of social isolation and the mental and physical consequence thereof.	5	4	20	Business Continuity Plans have been reviewed and tested to ensure the ongoing delivery of priority services.  Remote (home based) working in place, to facilitate self isolation and limit impact on service delivery. Communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response. Regular updates from Director of Public Health, shared internally and externally. Partnership communications. Partnership communications enhanced and regular conversations convened. Regular teleconference with local councils and emergency services discussing updates, concerns and best practice. (in-line with usual business continuity and emergency planning protocols). Mutual aid where appropriate with regional Thames Valley partners enable a tactical response to community resilience. Tactical response to community resilience. Creation of a dedicated telephony helpline to support the most clinically extremely vulnerable (shielded) residents in the county and operating extended hours each day. Provision of additional body storage as temporary place of rest to support the current mortuary provision. Face to face customer events e.g. wedding ceremony, library provision ceased in line with government guidance. Engagement with suppliers to manage impacts across the supply chain.	Fully  Partially Fully Fully Fully Fully Fully Fully Partially	Councillor Barry Wood	Yvonne Rees	Rob MacDougall	4	4	16	↔	Ongoing review and implementation of Council and partnership business continuity and emergency planning arrangements. COVID19 security on building in place to support the restart of services and this is being coordinated by the Organisational Recovery Steering Group and CEDR An urgent review of business continuity plans has taken place to adjust for COVID19 disruption and impacts of the 2nd wave of infection. Outbreak planning and Standard Operating Procedures completed and table top exercising has been completed and the learning has been incorporated into plans.	The nature of the risk is such that national public health guidelines will determine the councils' response. The councils will enact any support schemes as set out by national government as they emerge. Oxfordshire Health Protection Board is operating effectively and the Council has set up Command and Control structures to response to the 2nd wave of the pandemic.	Risk reviewed 09/12/20 - Amendments to Comments as there is reduced concern regarding high staff absences due to the 2nd wave.

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2020/21																	
L20 -	<b>Covid-19 Business Continuity</b> Significant staff absence due to the Covid-19 virus results in potential impacts on frontline service delivery and the ability to run the councils' business on a day to day basis.	Possible reductions in frontline service delivery, events, meetings and customer contact.  Potential confusion amongst staff with regards to how to plan and respond to reduced service availability, professional support and maintain business as usual.  Requirement to reprioritise service delivery.  Requirement to offer mutual aid to partner organisations.  Potential impact in the medium to long term resilience of staff may result in wider wellbeing issues.	5	4	20	Business Continuity Plans have been reviewed and tested.  Guidance has been prepared for managers to support agile working. A survey is taking place to ensure we are meeting remote working needs, facilities management are working to create covid compliant work spaces.  Remote working in place.  Staff communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response.  Regular updates from Director of Public Health, shared internally and externally.  Regular teleconference with local councils and emergency services discussing updates, concerns and best practice. (in-line with usual business continuity and emergency planning protocols).  Regular communication messages following Public Health advice.  Sanitisers in washrooms.  Agile working being tested further across services, ensuring equipment and access is in place.  Posters around the offices encouraging regular hand washing. Hand sanitisers available in washrooms and shared spaces.	Fully  Partially  Fully  Fully  Fully  Partially  Fully  Fully	Councillor Barry Wood	Yvonne Rees	Claire Taylor	4	4	16	↔	Ongoing review and implementation of Council and partnership business continuity and emergency planning arrangements.	The nature of the risk is such that national public health guidelines will determine the councils' response. Inherent (from 25 to 20) and residual risk reduced (20 to 16) due to Covid occurrence currently reduced. Risk will increase as further peaks or local outbreak are likely. Progress establishing the local outbreak plans and the Health Protection Board support mitigation of risk. Requirements of national tier two arrangements are in place. Staffing absence is monitored weekly. Risk heightened due to increased incidence of Covid-19 in the district.	Risk reviewed 11/12/20 – Comments updated
L21-	<b>Post Covid-19 Recovery</b> - challenges associated with adverse impact on customers, our workforce and the budget.	Long term response to the current covid-19 pandemic.  Requirement to review service delivery.	4	4	16	Work underway, a governance programme is currently under development. Executive has agreed a recovery strategy working is underway to transition from an emergency planning environment to recovering environment.  Working through a new corporate programme underpinned by policy research.	Partially  Partially	Councillor Barry Wood	Yvonne Rees	Claire Taylor	4	3	12	↔	Governance programme to be shared and implemented.  CEDR and ELT working towards new corporate programme liaising with Insight and policy support.	Work is ongoing to support recovery from Covid, necessarily focused on support for voluntary groups and implementing the various grants and support arrangements available.  Moving into a second lockdown and increased incidence of Covid-19 locally means that post Covid recovery is concurrent with newly re-up-stood response arrangements	Risk reviewed 11/12/2020 - No changes

#### L04 - Local Plan Risk

The latest Local Development Scheme is that approved by the Executive in March 2020. It includes the programmes for the Partial Review of the Local Plan, the Oxfordshire Plan 2050, a Local Plan Review, the Banbury Canalside Supplementary Planning Document and work on a Community Infrastructure Level (CIL).

##### Partial Review

The Partial Review of the Cherwell Local Plan was adopted by Council on 7 September 2020. It is now part of the statutory development plan.

##### Oxfordshire Plan 2050

A Growth Deal commitment. The Plan is being prepared by a central Plan team appointed through the Oxfordshire Growth Board. The Council contributes to the plan-making process as a partner with a view to it being adopted as part of the Development Plan upon completion.

Public consultation on an Issues Paper ended on 25 March 2019. A public 'call for location ideas' ended on 12 April 2019. The central Plan team is evidence gathering and scoping 'spatial options' for Plan development. On 24 November 2020, the Oxfordshire Growth Board agreed a further revision to the timetable for completion of the Plan. This allows for public consultation on a formal Options Paper in Summer 2021, consultation on a proposed Plan in Spring 2022, submission for Examination in September 2022 and adoption in 2023. The Plan covers five Local Planning Authority areas, is not under the immediate control of Cherwell officers and can be affected by wider regional influences. There is therefore continuing risk of some delay.

##### Local Plan Review

The timetable for the district-wide Local Plan review in the new Local Development Scheme requires:

- commencement in April 2020
- Consultation on Issues: July-August 2020
- Consultation on Options: February-March 2021
- Consultation on a draft Plan: October-November 2021
- Consultation of a Proposed Submission Plan: July-August 2022
- Submission for Examination: November 2022

An issues consultation was prepared and completed in accordance with the LDS. Work has continued in considering the representations received. However, in view of the delay to the Oxfordshire Plan process, and in light of a necessary internal review of resources and service demands, the precise timetable for the Local Plan is having to be reconsidered. Expected national changes to the planning system could also affect how the plan is completed.

##### Banbury Canalside Supplementary Planning Document

The timetable for the Banbury Canalside SPD as set out in the new Local Development Scheme requires:

- preparation: March-September 2020
- formal consultation: September-October 2020
- adoption: December 2020

Staff resources have been focused on Local Plan work which has led to delay in re-commencing work on the SPD. A corporate review of the work needed for Canalside is also taking place which could affect whether/how the SPD is taken forward.

##### Community Infrastructure Levy (CIL)

The timetable for CIL as set out in the new Local Development Scheme is aligned to Local Plan preparation. It requires:

- re-commencement: March 2021
- focused consultation on a draft charging schedule: October-November 2021
- formal consultation on a draft charging schedule: July-August 2022
- potential (if approved) submission of charging schedule: November 2022

Work on CIL has not yet recommenced due to other priorities. Expected changes to the planning system may affect the decision whether or not to proceed.